



## IAPD Report

# RASHEAD ERIC HARPER

CRD# 6236493

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8

**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.  
For more information read our [investor alert](#) on imposters.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### **Where did this information come from?**

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### **Are there other resources I can use to check the background of investment professionals?**

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### RASHEAD ERIC HARPER (CRD# 6236493)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/07/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/30/2022
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	07/13/2022

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **53** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	DEUTSCHE BANK SECURITIES INC.	2525	JACKSONVILLE, FL	02/07/2022 - 07/23/2022
B	DEUTSCHE BANK SECURITIES INC.	2525	JACKSONVILLE, FL	10/03/2019 - 07/23/2022
IA	DEUTSCHE BANK SECURITIES INC.	2525	JACKSONVILLE, FL	10/03/2019 - 12/03/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**No**



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **53** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086

Firm ID#: 8174

	Regulator	Registration	Status	Date
<b>B</b>	BOX Exchange LLC	General Securities Representative	Approved	06/30/2022
<b>B</b>	BOX Exchange LLC	General Securities Sales Supervisor	Approved	06/30/2022
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	06/30/2022
<b>B</b>	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	06/30/2022
<b>B</b>	FINRA	General Securities Representative	Approved	06/30/2022
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	06/30/2022
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	06/30/2022
<b>B</b>	NYSE American LLC	General Securities Sales Supervisor	Approved	06/30/2022
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	06/30/2022
<b>B</b>	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/30/2022
<b>B</b>	NYSE Chicago, Inc.	General Securities Representative	Approved	06/30/2022
<b>B</b>	NYSE Chicago, Inc.	General Securities Sales Supervisor	Approved	06/30/2022
<b>B</b>	Nasdaq ISE, LLC	General Securities Representative	Approved	06/30/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/30/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/30/2022
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/30/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	06/30/2022
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/30/2022
B	New York Stock Exchange	General Securities Representative	Approved	06/30/2022
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	06/30/2022
B	Alabama	Agent	Approved	07/25/2022
B	Alaska	Agent	Approved	06/30/2022
B	Arizona	Agent	Approved	06/30/2022
B	Arkansas	Agent	Approved	06/30/2022
B	California	Agent	Approved	06/30/2022
B	Colorado	Agent	Approved	06/30/2022
B	Connecticut	Agent	Approved	06/30/2022
B	Delaware	Agent	Approved	06/30/2022
B	District of Columbia	Agent	Approved	06/30/2022
B	Florida	Agent	Approved	06/30/2022
IA	Florida	Investment Adviser Representative	Approved	08/22/2022
B	Georgia	Agent	Approved	06/30/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	06/30/2022
B	Idaho	Agent	Approved	06/30/2022
B	Illinois	Agent	Approved	06/30/2022
B	Indiana	Agent	Approved	06/30/2022
B	Iowa	Agent	Approved	06/30/2022
B	Kansas	Agent	Approved	06/30/2022
B	Kentucky	Agent	Approved	06/30/2022
B	Louisiana	Agent	Approved	06/30/2022
B	Maine	Agent	Approved	06/30/2022
B	Maryland	Agent	Approved	06/30/2022
B	Massachusetts	Agent	Approved	06/30/2022
B	Michigan	Agent	Approved	06/30/2022
B	Minnesota	Agent	Approved	06/30/2022
B	Mississippi	Agent	Approved	06/30/2022
B	Missouri	Agent	Approved	06/30/2022
B	Montana	Agent	Approved	06/30/2022
B	Nebraska	Agent	Approved	06/30/2022
B	Nevada	Agent	Approved	06/30/2022
B	New Hampshire	Agent	Approved	06/30/2022



## Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	06/30/2022
IA	New Jersey	Investment Adviser Representative	Approved	07/13/2022
B	New Mexico	Agent	Approved	06/30/2022
B	New York	Agent	Approved	06/30/2022
B	North Carolina	Agent	Approved	06/30/2022
IA	North Carolina	Investment Adviser Representative	Approved	12/06/2022
B	North Dakota	Agent	Approved	06/30/2022
B	Ohio	Agent	Approved	06/30/2022
B	Oklahoma	Agent	Approved	06/30/2022
B	Oregon	Agent	Approved	06/30/2022
B	Pennsylvania	Agent	Approved	06/30/2022
B	Puerto Rico	Agent	Approved	06/30/2022
B	Rhode Island	Agent	Approved	06/30/2022
B	South Carolina	Agent	Approved	06/30/2022
B	South Dakota	Agent	Approved	06/30/2022
B	Tennessee	Agent	Approved	06/30/2022
B	Texas	Agent	Approved	06/30/2022
B	Utah	Agent	Approved	06/30/2022
B	Vermont	Agent	Approved	06/30/2022



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virgin Islands	Agent	Approved	06/30/2022
<b>B</b> Virginia	Agent	Approved	06/30/2022
<b>B</b> Washington	Agent	Approved	06/30/2022
<b>B</b> West Virginia	Agent	Approved	06/30/2022
<b>B</b> Wisconsin	Agent	Approved	06/30/2022
<b>B</b> Wyoming	Agent	Approved	06/30/2022

## Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
11325 NORTH COMMUNITY HOUSE ROAD  
SUITE 600  
CHARLOTTE, NC 28277







## Qualifications

### PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/16/2015
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/01/2015

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/20/2013

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	02/15/2018
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/06/2013

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/07/2022 - 07/23/2022	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	JACKSONVILLE, FL
B	10/03/2019 - 07/23/2022	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	JACKSONVILLE, FL
IA	10/03/2019 - 12/03/2021	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	JACKSONVILLE, FL
IA	02/15/2018 - 09/06/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CHARLOTTE, NC
B	09/20/2013 - 09/06/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CHARLOTTE, NC

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2022 - Present	UBS	Supervisory Officer	Y	Charlotte, NC, United States
09/2019 - 06/2022	Deutsche Bank Securities Inc.	Analyst	Y	Jacksonville, FL, United States
11/2016 - 09/2019	WELLS FARGO CLEARING SERVICES, LLC	TRADING/SERVICES REP	Y	CHARLOTTE, NC, United States
08/2013 - 11/2016	WELLS FARGO ADVISORS	TRADING/SERVICES REP	Y	CHARLOTTE, NC, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



## End of Report

This page is intentionally left blank.